

FINAL

The Michigan Interlibrary Loan Code: Protocols & Guidelines

Report of the Statewide
Interlibrary Loan
Protocol Committee

1990/91

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Acknowledgements and a Special Message from the Chair

In January 1990, State Librarian James W. Fry created the Statewide ILL Protocol Review Committee. The charge for the Committee follows:

1. Recommend policies for the enhancement of the Michigan statewide database of bibliographic information.
2. Postulate possible developments impacting upon statewide resource sharing as a result of the implementation of OCLC/GAC.
3. Review protocols for the sharing of all categories of library information resources among Michigan libraries and develop proposals for their enhancement as appropriate in keeping with established state, national and international standards.

The following document is the written realization of this charge as given to the Committee. It should be assumed that as the statewide database, and various regional or network databases expand and grow the 1990/91 protocol may need revision.

I would like to thank the members of the Committee for their dedication, support, and insight during the creation of this document. The team spirit and sense of cooperation in the group were always present, even though members represented multitype libraries of various sizes, and had diverse opinions and ideas. Everyone in the group contributed equally.

Special thanks should go to Mary Ann Chapman and Leah Black who took on the tough assignment of bringing our ideas together on paper when they were merely seeds. In addition, I would like to thank Mary Beth Leland and Beth Mills from the Library of Michigan, Technical Services Division for clerical support during the past months.

Finally, I would like to thank State Librarian James W. Fry for his stimulation and encouragement during the writing of this document.

Kathleen Menanteaux, Chairperson

Statewide Interlibrary Loan
Protocol Committee

Introduction

Background

Access to information is a fundamental right of all Michigan citizens. Since no individual library has the resources available to meet all user needs, interlibrary loan service is maintained. It supplements and greatly expands local collections, removes geographic barriers and is essential to libraries of all types and sizes. Successful interlibrary loan service depends on the ability to identify and locate specific items. Individual libraries and networks in Michigan have created joint union lists and automated databases and subscribed to national automated databases to locate materials throughout the state and elsewhere. Interlibrary loan service has grown and improved as a result; the need for a coordinated statewide information network has also increased.

In 1989, the Library of Michigan selected OCLC's Group Access Capability (GAC) to establish a statewide database and to facilitate interlibrary loan service. Federal LSCA funds will continue to be used to encourage participation in the statewide information network. James W. Fry, State Librarian, appointed the Statewide Interlibrary Loan Protocol Committee to review current practices, project the effect of the database on resource sharing activities and provide an up-to-date interlibrary loan code for Michigan libraries.

Purpose of Michigan Interlibrary Loan Code

The purpose of the Michigan code is to:

- Support the spirit of interlibrary cooperation among all types of libraries;
- Encourage continued development of high quality interlibrary loan service to Michigan library users;
- Recognize the diversity of network arrangements and methods of information access already in use in the state;
- Provide standards, guidelines and protocols for consistent interlibrary loan practice at the state level.

Existing Interlibrary Loan Arrangements

In Michigan, interlibrary loan codes have been developed by library groups and networks organized geographically or by mutual interest. It is not the intent of this code to prescribe the nature of interlibrary lending under these arrangements, but to provide a framework for cooperation at the state level. The policies established in this document are based on accepted national practice, and have been designed to be as liberal and easy to apply as possible.

Scope of Lending Restrictions

Michigan interlibrary loan protocols place no restrictions on the types of materials to be requested. Lenders may choose to loan any type of library material. Borrowers should refer to the written policies of potential lenders before requesting materials.

Reasons for Adopting Statewide Protocols

Adopting a common set of protocols, standards of service, and procedures for measurement will enable Michigan libraries and networks to:

- cooperate effectively,
- share resources and expertise,
- deliver information and materials across the state in a timely manner,
- provide consistent and orderly interlibrary loan service to library users, and
- help ensure equitable lending and borrowing within Michigan.

Key Definitions

The following definitions are central ideas for all institutions involved in interlibrary loan activities. Additional terms and their definitions may be found in Appendix A.

Interlibrary loan is a transaction in which library material is made available from one library to another.

Resource sharing is a broader term. It includes sharing materials (interlibrary loan), expertise, joint purchases, and shared projects between libraries for mutual benefit.

Equity in resource sharing means that each library's contribution to the statewide effort should be proportional but not necessarily equal, recognizing that providing needed information to the citizens of Michigan is the ultimate, primary goal.

Protocols—Guidelines For Participation

The Michigan Interlibrary Loan Protocols have been designed to facilitate lending and borrowing at the state level. They should be applied to all Michigan information network transactions.

Interlibrary loan service is a voluntary, cooperative activity. Each library may determine its own level of participation in regional and statewide resource sharing networks, but libraries *accepting state or federal funds to promote resource sharing* shall be expected to lend to other Michigan libraries.

Members of a Region of Cooperation (ROC) or other resource sharing network should adhere to their protocols.

An existing ROC or other resource sharing network may contract with one or more ROCs or networks to share materials and expertise.

Voluntary linking of resource networks shall form the basis of a Michigan statewide information network.

Interlibrary loan should serve as an adjunct to, not a substitute for, collection development.

Local and regional network resources should be exhausted first before initiating a request through the statewide interlibrary loan network. Libraries should attempt to borrow from the closest source holding the item within the state. Libraries should attempt to avoid one library receiving a

disproportionately large number of requests.

When resources within the state have been exhausted, loan requests to out of state libraries should then conform to the provisions of the current National Interlibrary Loan Code. (See Appendix C for the 1980 National Interlibrary Loan Code).

Each library will develop and present in written form if requested, its conditions of loan and, if appropriate, its cost structure, along with its billing and payment procedures. Libraries participating in the statewide OCLC Group Access database will provide and maintain their policies in the OCLC Name Address Directory (NAD).

Free interlibrary loan and reciprocal borrowing/lending agreements will be encouraged, but the decision to set and charge a fee will remain the prerogative of the individual lender.

Responsibilities of Borrower

Borrowing libraries shall exhaust available local resources before initiating interlibrary loan requests.

The Committee encourages the use of all electronic and automated sources available to the library or group.

All available resources within a geographic region shall be searched to fill requests of all participating libraries—public, school, academic, and special.

For large academic or public libraries, A region may be defined as a geographic region, a network or group, or the entire state.

Large public or academic libraries, of course, may request items from any other library holding the item in-state before going out-of- state.

Materials requested shall be described as completely and accurately as possible following accepted bibliographic practice. A source of verification shall be cited for both bibliographic data and location, if possible. For example:

- To verify specific citation components (e.g. author, title, etc.), general or specialized indexes, abstracts, directories, bibliographic tools or online databases should be used.
- To verify location, union catalogs, computerized databases, OCLC and other listing services should be used.

When items cannot be verified, the statement “cannot verify” should be included along with complete information as to the original source of the citation.

The borrowing library is responsible for compliance with the copyright law (Title 17, U.S. Code) and its accompanying guidelines, and shall inform its users of the applicable portions of the law. An indication of compliance shall be provided with all copy requests.

Requests shall be submitted on accepted interlibrary loan forms with the borrowing library’s complete address, telephone and fax numbers neatly printed or typed (see Appendix B for examples of forms and mailing labels). Libraries with access to an automated request transmittal system should consider that system the preferred means of transmitting requests at the state level. Other means of transmitting a request to a potential lender (ALA forms, fax transmission, telephone) should be employed if no other avenue exists or if specific arrangements have been made for transmitting requests in an alternate manner.

The safety of borrowed materials is the responsibility of the borrowing library from the time the material leaves the lending library until it is received by the lending library, just as an individual borrowing directly is responsible for materials from the time of check-out to the date of return. The borrowing library is responsible for packaging the material so as to ensure its return in

good condition. If damage or loss occurs, the borrowing library must meet all costs of repairs or replacement in accordance with preferences of the lending library.

The borrowing library and its users must comply with the conditions of loan established by the lending library.

Interlibrary loan staff should be aware of Michigan's Library Privacy Act (1982 PA455, MCL 397.601 et. seq.). This act prohibits the disclosure of any library record which identifies a patron and the library materials used or requested by the patron (see the Library of Michigan's Library Law Handbook: *State Laws Relating to Michigan Libraries*, 1988).

Responsibilities of Lenders

The decision to loan is at the discretion of the lending library. Each library is encouraged, however, to interpret as generously as possible its own lending policy with due consideration to the interests of its primary clientele.

A statement of interlibrary loan policy should be made available upon request. Participants in state OCLC Group Access should publish and maintain their policies in the OCLC Name Address Directory (NAD).

The lending library should process requests promptly. Conditions of loan should be stated clearly and material should be packaged carefully.

The lending library should notify the borrowing library when unable to fill a request, stating the reason for not filling the request, if possible.

If verification is disregarded, or the bibliographic data is incorrect, the lending library may return the request unfilled without special effort to identify the reference.

Expenses

The borrowing library should anticipate charges by referring to established policies and authorize them on the initial request. If no fee information is available, indicate the maximum acceptable fee; if no fee is acceptable, indicate *free* or *0\$*.

Duration of Loan

The loan period, unless otherwise specified by the lending library, is the period of time the item may remain with the borrowing library disregarding travel time.

Interlibrary loan material should be returned promptly.

A renewal request should be sent in time to reach the lending library no later than the due date. If the lending library does not respond, it will be assumed that renewal, for the same period as the original loan, is granted.

All material on loan is subject to immediate recall, and the borrowing library should comply promptly.

Violation of Code

Each library is responsible for maintaining the provisions of the *1990/91 Michigan Interlibrary Loan Code: Protocols and Guidelines* in good faith.

Non-compliance of the 1990/91 Code will limit borrowing potential and will severely affect service to patrons at the violating library.

Training

The effective and timely training of all personnel involved in interlibrary loan is necessary to insure the success of the Michigan statewide information network. Library of Michigan and Michigan Library Consortium, in cooperation with other groups, will provide training, coordination and support of ILL personnel. Libraries are responsible for ensuring proper training of interlibrary loan practitioners. Topics to be included in training:

- The U.S. copyright law
- The National Interlibrary Loan Code, 1980 (See Appendix C)
- How to interpret OCLC union list local data records
- How to fill out standard ALA interlibrary loan forms
- How to verify citations bibliographically
- How to use the OCLC Interlibrary Loan Subsystem
- The provisions of the *1990/91 Michigan Interlibrary Loan Code: Protocols and Guidelines*.
- Library Privacy Act